

PTO-1449 Information Disclosure Citation In an Application	Application No. 10/766,965		Applicant(s) Thomas J. Daley, et al.	
	Docket Number 069547.0175	Group Art Unit 3624	Filing Date January 29, 2004	

U.S. PATENT DOCUMENTS

		DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
G.V.	/A	2003/0216932 A1	11/20/2003	Foley	705	1	11/07/2002
G.V.	/B	2004/0143538 A1	07/22/2004	Korhammer, et al.	705	37	01/21/2003
G.V.	/C	2004/0215538 A1	10/28/2004	Smith, et al.	705	35	04/24/2003
G.V.	/D	2005/0055304 A1	03/10/2005	Lutnick, et al.	705	37	07/13/2004
G.V.	/E	2006/0149662 A1	07/06/2006	Nordlicht, et al.	705	37	03/07/2006
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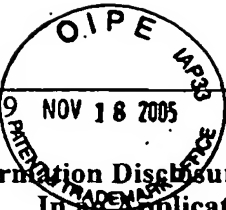
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G.V.	N	Notification of Transmittal of the International Search Report and the Written Opinion of the International Searching Authority, or the Declaration for International Application No. PCT/US06/30638; 8 pages.	04/20/2007
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G.V./P	Notification of Transmittal of the International Search Report for Application no. PCT/US05/03166; 4 pages.	11/04/2005
G.V./Q	Written Opinion of the International Searching Authority for Application No. PCT/US05/03166; 5 pages.	11/04/2005
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		DOCUMENT NO.	DATE	NAME	CLASS
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/G.V./		4,412,287	10/25/1983	Braddock, III	364
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/G.V./	B	5,077,665	12/31/1991	Silverman, et al.	364
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/G.V./	C	6,278,982 B1	08/21/2001	Korhammer, et al.	705
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	D	H 2064 H	05/06/2003	Buchalter	705
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/G.V./	E	2002/0023037 A1	02/21/2002	White, Jr.	705
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/G.V./	F	2005/0171890 A1	08/04/2005	Daley, et al.	705
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/G.V./	T	WO 00/11587 A1	03/02/2000	PCT	G06F
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/G.V./	U	WO 01/54037 A1	07/26/2001	PCT	G06F
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/G.V./		Notification of Transmittal of The International Search Report, International Application No. PCT/US05/03159, 4 pages.			
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/G.V./		Written Opinion of the International Searching Authority, International Application No. PCT/US05/03159, 7 pages.			
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/G.V./		How to Match Trades and Quotes for NYSE Stocks? Olivier Vergote and K.U. Leuven, Abstract, 21 pages.			
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	A	5,950,177	09/07/1999	Lupien, et al.	705	37	07/15/1997
	B	6,012,046	01/04/2000	Lupien, et al.	705	37	10/16/1997
	C	6,098,051	08/01/2000	Lupien, et al.	705	37	04/26/1996
	D	2003/0097325 A1	05/22/2003	Friesen, et al.	705	37	04/09/1999
	E	2003/0177086 A1	09/18/2003	Gomber, et al.	705	37	12/02/2002
	F	2004/0236636 A1	11/25/2004	Lutnick, et al.	705	26	10/02/2003
	G	2005/0108141 A1	05/19/2005	Farrell, et al.	705	37	11/14/2003

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/G.V./	H	EP 0 388 162 A2 & A3	03/14/1990	EPO	G06F	15/30		
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/G.V./	J	GB 2 411 492 A	08/31/2005	UK	G06F	17/60		
/G.V./	K	WO 00/26834 A2 & A3	05/11/2000	PCT	G06F	17/60		
/G.V./	L	WO 01/09757 A2	02/08/2001	PCT	G06F	17/00		
/G.V./	M	WO 01/25996 A1	04/12/2001	PCT	G06F	17/60		
/G.V./	N	WO 01/52150 A1	07/19/2001	PCT	G06F	17/60		
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/G.V./	P	Parlour, Christine; <i>Price Dynamics in Limit Order Markets</i> ; Queen's University, Kingston, Ontario, Canada; 111 pages.	11/1995
/G.V./	Q	Weber, Bruce; <i>Screen-Based Trading in Futures Markets: Recent Developments and Research Propositions</i> ; Abstract; ISBN 0 7695 0001 3; 1 page.	1999
/G.V./	R	<i>Balance of Trade</i> ; Banking Technology; Vol. 20, No. 9; ISSN 0266-0865; pages 42-44.	11/2004
/G.V./	S	Patent Pending Application Serial No. 11/499,833 entitled <i>System and Method for Matching Trading Orders Based on Priority</i> by Matthew W. Claus, et al.; Atty Docket No. 069547.0267; 46 total pages.	filed 08/03/2006

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		Docket Number 069547.0175	Group Art Unit 4132	Filing Date January 29, 2004		

U.S. PATENT DOCUMENTS							
		DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
/G.V./	A	3,573,747	04/06/1971	Adams, et al.	340	172.5	02/24/1969
/G.V./	B	3,581,072	05/25/1971	Nymeyer	235	152	03/28/1968
/G.V./	C	2002/0178104 A1	11/28/2002	Hausman	705	37	04/20/2001
/G.V./	D	2002/0198816 A1	12/26/2002	Gilbert, et al.	705	37	10/17/2001
/G.V./	E	2003/0009413 A1	01/09/2003	Furbush, et al.	705	37	07/09/2001
/G.V./	F	2003/0167224 A1	09/04/2003	Periwal	705	37	01/09/2003
/G.V./	G	2004/0059666 A1	03/25/2004	Waëlbroeck, et al.	705	37	06/24/2003
/G.V./	H	2005/0055305 A1	03/10/2005	Lutnick, et al.	705	37	09/10/2004
/G.V./	I	2006/0026090 A1	02/02/2006	Balabon	705	37	07/28/2005
/G.V./	J	2007/0118464 A1	05/24/2007	Avery	705	37	01/12/2007

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		Docket Number 069547.0175	Group Art Unit 4132	Filing Date January 29, 2004		

U.S. PATENT DOCUMENTS							
		DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
/G.V./	A	5,727,165	03/10/1998	Ordish, et al.	395	237	12/27/1994
/G.V./	B	7,110,969 B1	09/19/2006	Bennett, et al.	705	35	07/26/2000
/G.V./	C	7,242,669 B2	07/10/2007	Bundy, et al.	370	252	12/04/2000
/G.V./	D	2002/0091606 A1	07/11/2002	Shapiro	705	36	01/11/2001
/G.V./	E	2002/0156719 A1	10/24/2002	Finebaum, et al.	705	37	11/15/2001
/G.V./	F	2003/0101128 A1	05/29/2003	Abernethy	705	37	11/29/2001
/G.V./	G	2006/0015436 A1	01/19/2006	Burns, et al.	705	37	09/30/2004
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		DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
/G.V./	P	USPTO Office Action Summary for Application No. 10/767,699; filed January 29, 2004; Attorney Docket No. 069547.0174; 22 pages.	10/26/2007
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**Information Disclosure Citation
In an Application**

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/G.V.	A	2001/0051909 A1	12/13/2001	Keith	705	37	03/08/2001
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/G.V.	P	Notification of Transmittal of the International Search Report and the Written Opinion of the International Searching Authority, or the Declaration for International Application No. PCT/US05/03163; 9 pages.	01/04/2007
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G.V.	A	2001/0042040 A1	11/15/2001	Keith	705	37	03/08/2001
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G.V.	P	Notification of Transmittal of the International Search Report and the Written Opinion of the International Searching Authority, or the Declaration for International Application No. PCT/US05/03164, 6 pages.	12/13/2006
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		DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
/G.V./	N	Patent Pending Application entitled, "System and Method for Routing a Trading Order," by Thomas J. Daley et al., attorney docket no. 069547.0163, 64 pages including drawings	filing date January 29, 2004
/G.V./	O	Patent Pending Application entitled, "System and Method for Routing a Trading Order According to Price," by Thomas J. Daley et al., attorney docket no. 069547.0173, 72 pages including drawings	filing date January 29, 2004
/G.V./	P	Patent Pending Application entitled, "System and Method for Controlling the Disclosure of a Trading Order," by Thomas J. Daley et al., attorney docket no. 069547.0174, 66 pages including drawings	filing date January 29, 2004
/G.V./	Q	Patent Pending Application entitled, "System and Method for Matching Trading Orders," by Thomas J. Daley et al., attorney docket no. 069547.0176, 74 pages including drawings	filing date January 29, 2004
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			Docket Number 069547.0175	Group Art Unit 3694	Filing Date January 29, 2004		
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